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XX.—WILHELM HAUFF'S SPECIFIC RELATION TO  
WALTER SCOTT

I

INTRODUCTION

In 1899 Dr. C. W. Eastman read a paper before the Modern Language Association, in which he maintained that of all Scott's novels *Ivanhoe* served Hauff most completely as the source of his historical romance, *Lichtenstein*. In 1903 this claim was disputed by Dr. W. H. Carruth, who thro the same channel advanced his reasons for believing that *Waverley* and not *Ivanhoe* was the model in question. A year later Max Schuster in a monograph<sup>1</sup> discussed Hauff's relation to his historical sources ; and almost simultaneously the whole problem of his historical and literary dependence was treated by Max Drescher.<sup>2</sup> Incisive and scholarly as these inquiries are, it has seemed to us in the light of our own studies that one phase of the matter still

<sup>1</sup> *Der geschichtliche kern von Hauffs Lichtenstein.*

<sup>2</sup> *Die Quellen zu Hauffs Lichtenstein.*

offered opportunity for further investigation. The evidence of Hauff's attitude toward Walter Scott is by no means meagre or indirect; and we have never been able to persuade ourselves that this specific relation has been adequately determined. In any case it is insufficient merely to ask whether *Waverley* or *Ivanhoe* was the prototype, or, as Drescher did, arbitrarily to choose only six of Scott's novels for comparison. The situation demanded rather a most careful study of all the works to which Hauff had access, and an equally careful analysis of the evidence thus obtained.

We know from Hauff's own statements that he definitely decided to write an historical novel and carried the idea about in his mind for some time; that Scott's immense popularity in German revealed to him how and in what form he could best please the reading public; that Walter Scott was the only model he ever had definitely in mind. We know furthermore that his acquaintance with the latter's works and technique was intimate. As he himself says: "Freilich kamen mir bei diesen Gedanken noch allerlei Zweifel. Ich müsste die Werke dieses grossen Meisters nicht nur lesen, sondern auch studiren, um sie zu meinem Zweck zu benützen."<sup>1</sup> As the result of this conviction he analysed critically twelve of Scott's novels in his *Studien* and makes elsewhere special mention of *Quentin Durward*. Ernst Müller (*Euphorion*, 4, 319) says of him: "Es steht fest, dass er Scott zum Vorbild hat in Lichtenstein." When we consider in addition that during Hauff's literary activity Scott wielded a most intensive and extensive influence in Germany; that Hauff openly admired and avowed him as a master novelist, pays a glowing tribute to him in the introduction to *Lichtenstein* and defends him against German criticism; when we consider also that his studies of Scott

<sup>1</sup> *Die Bücher und die Lesewelt*.

immediately preceded the composition of *Lichtenstein*, we are prepared to find a close relationship between the two authors, and indeed a much closer relationship than has hitherto been asseverated.

## II

### THE PLOT OF *Lichtenstein*

George Sturmfeder, a young soldier of fortune whose political preferences are not yet fixed, comes to the city of Ulm, where the army of the Swabian League is concentrating to prevent the Duke of Württemberg from regaining his throne. Here George meets his beloved, Marie von Lichtenstein, whose father is supposed to be in sympathy with the League. Strong pressure is exerted on the young man to join the government forces, but an attempt to assign him duty as a spy and Marie's efforts to draw him to the Duke, whom her father loves, induce him to reject the cause of the Allies. Accompanied by a peasant-guide, who is also devoted to the Duke, he leaves Ulm under parole but is attacked *en route* and wounded by the enemy, who mistake him for the Duke. He is rescued, attended, and healed by the family of the peasant-guide at their cottage, and resumes his journey to Lichtenstein, whither he has decided to go for a last interview with Marie. Made jealous at an inn by the hostess's story of Marie's nightly *entente* with a supposed lover, George resolves to attack him that night as he leaves the castle. The duel is stopped by the peasant-guide, who recognizes George, and the latter after due explanation spends the night in a cave with the reputed lover, who is of course the Duke incognito. George lingers some time at Lichtenstein, during which the Duke visits the castle nightly to learn the movements of his friends and enemies. The fall of Tübingen, Ulrich's chief stronghold,

brings him to the edge of ruin ; accompanied, therefore, by his devotees (including George) he flees to a safer point of refuge at Mömpelgard. Profiting by the misrule of the League in Württemberg, the Duke recuperates his shattered forces and effects a sudden but peaceful occupation of Stuttgart, his capital city. But his own political blunders and the reconcentration of the hostile army soon drive him to battle, where he is defeated and escapes by the aid of George, who has distinguished himself at arms and together with others is made prisoner. The captives are paroled, and George, who had already married Marie in Stuttgart, retires with her to the customary happy life at the castle of Lichtenstein.

### III

#### WALTER SCOTT'S NOVELISTIC TECHNIQUE

The novels of Walter Scott are not developed by an unvarying law of technique. Beneath the structural elements we find strong undercurrents which greatly complicate the evolution of the plots and affect in consequence the relationships of the characters. The political and religious differences of the English and Scotch ; the struggle between catholicism and protestantism, the local feuds of the Border chiefs, the intrigues of aristocracy involve issues which, historical as they are, exhibit such partisan fierceness, bitterness, and intricacy that the idea of any uniformity in literary methods would seem at first to be interrogative. And, too, we have in many cases to deal with Scott's favorite counter-themes of dispossessed heirships, mysteries of birth, and the practice of witchcraft, all of which make it difficult to believe that amid such varied issues and situations there is any organic progress toward a definite end.

But much of the confusion respecting Scott's plots arises

from his persistent tendency to give disproportionate extension to individual scenes; and after all there are recurrent types and functions, a certain framework, a structural background which may be grouped together under the generic name of technique. Common thus to nineteen of the twenty-one novels under discussion is the following plot system: A young hero seeks fortune and ultimate happiness. His career involves difficulties and a wide variety of experience. Associated with him are a heroine and a secondary lady, also a baron (or barons) whose operations form no small part of the action. There is also a prince motive which overshadows historically that of the hero, and the latter's triumph has in most cases its identity in the *dénouement* of actual events. The hero is generally poor and destitute of influential relatives, circumstances which naturally and cleverly throw his success into the balance of the prince's fortunes.

Scott became much interested in the development of the romantic literature which sprang up in Germany. But, as Lockhart says, it seemed a style of literature which his friends regarded with wonder, and, like Wordsworth, he was even half-ashamed of his early romantic studies. *Goetz von Berlichingen* made him perhaps ask whether he could not do for his own country what Goethe had done for the ancient feudalism of the Rhine. And he may have found thus a vehicle for Border manners in the historical romance. But it is not true that Scott's tendency to paint horrors was developed under Storm and Stress influences. In the introductions to *Peveril* and *Nigel* he cites historical chronicles to prove that his own methods of portraiture were milder than the facts themselves, and in other places he speaks apologetically of describing such horrors, as if his duties as a historian demanded a *modus operandi* which his better taste would not otherwise justify. That Scott's influence over the

development of German literature did not contain such gruesome elements is demonstrated clearly and candidly in Mielke's characterisation of him (*Der deutsche Roman des 19ten Jahrhunderts*, 91 seq.).

#### IV

##### HAUFF'S HISTORICAL SOURCES

As the actual historical materials of *Lichtenstein* could not have been drawn from the Waverley series, they do not belong to our present inquiry. His fidelity to his own sources has been investigated by Max Schuster, as we have already pointed out. He discusses how far Hauff followed fact and fiction, and ascribes the deviations from historical record to ignorance and a superficial attitude on the author's part. He says: "Wo er (Hauff) am schroffsten der geschichtlichen Wirklichkeit widerspricht, in der Darstellung des Huttenschen Falls und der Schlacht bei Türkheim, tat er es in gutem Glauben an die Richtigkeit seiner Auffassung. Was ihm anzuwerfen ist, ist nicht so wohl eine unerlaubte Willkür, eine Misshandlung der ihm bewussten, historischen Tatsachen, sondern der Mangel an gründlicherem Eindringen in die geschichtlichen Voraussetzungen und Entwicklungen, das ihn zu einer tieferen Auffassung vom Charakter seines Helden hätte führen können."<sup>1</sup> Drescher finds Hauff historically correct in his general purpose and explains discrepancies as well as inaccuracies by the great haste in which the novel was written. This historical material Hauff gives partly as supplementary data in the form of notes and annotations, partly as narrative with maximum brevity, partly by word of mouth, partly in actual scenes. So little of it enters into the novel itself

<sup>1</sup> P. 61.

that we shall consider it in connection with the nature and structure of the plot.

## V

### THE CHARACTERS

When Hauff had consulted his historical and legendary sources, the problem of using these materials, combining them with his own inventions was no small one. He must have asked himself three questions: What characters should he select? How should he construct his plot with reference to them? How should this structure be filled in with such situations and embellishments as would enhance the attractiveness of the novel as a work of literary art?

As characters who carry on the action we have Georg von Sturmfeder, the hero; a prince, Duke Ulrich von Württemberg; a baron, Herr von Lichtenstein, devoted to the Duke; a heroine, Marie, the Baron's daughter; a secondary lady, Bertha von Besserer; a secondary baron, Dietrich von Kraft, who loves Bertha; an unprincipled counselor, Ambrosius Volland; two generals, Georg von Frondsberg and Truchsess Waldburg, the former of whom befriends, the latter dislikes, the hero; a peasant-guide, Pfeiffer von Hardt, with wife and daughter (Bärbele). The Duke, the Counselor, and the two Generals are historical, the others fictitious. As the remaining characters, tho many of them are historical, have no organic connection with the plot, they do not claim our attention. The two Generals were officers in the Swabian army which opposed the Duke of Württemberg in 1519; as, however, they receive no characterisation at the hands of their biographers, Hauff's treatment of them in relation to his hero-plot is an invention. The physical deformity, the caricature and ridiculous aspect which Hauff assigns to Volland are likewise unconfirmed by the latter's biographers.



The Chancellor took office after the Armer Konrad rebellion; he accompanied the Duke on both exiles, but was not responsible for the abrogation of the Tübingen Compact, so that here again Hauff took liberties with historical facts in the interest of his plot. His carefully detailed explanation of his purpose to present the Duke's character in a subdued light prepares us for the variations which we actually find, and obviates the necessity of seeking reasons for the freedom which Hauff's own view-point justifies. He states that doubtless public opinion was too much influenced against Ulrich by the prejudicial bitterness of Ulrich von Hutten, who attacked him with great vigor; that he (Hauff) in all his investigations had not found one writer who condemned the Duke entirely; that the latter was affected by bad influences and environment: that his youth and indiscretions were against him; that the harshness of his character was offset by his more elevated traits, by his strength of soul and his indomitable courage. Pfaff also says: "Über seine Denk- und Gemütsart haben Mit- und Nachwelt gar verschiedene Urtheile gefällt, man hat ihn bald zu schlimm, bald zu gut geschildert."<sup>1</sup>

If, then, Hauff emphasizes the Don Juan and chivalrous aspects of Ulrich's character, ascribing his cruelty and unwise statesmanship to evil influences, his procedure is sufficiently motivated to escape the charge of having trifled with his sources.

The Scottian hero is prevailingly a young man, poor, of good birth, who, being uncertain as to his future, seeks and wins fortune thro the aid of a prince. In his *Studien* Hauff strongly defends this wavering type of hero. He says: "Wirft man aber die Frage auf, was ist höher im Roman, das Leben des Helden oder die Personen und Gegenstände,

<sup>1</sup> Pfaff, *Gesch. Württembergs*, I, 386.

mit welchen letzterer in Berührung kommt, so ist es offenbar das letztere. Fragt man aber, zu was dann noch ein solcher Nightheld, wenn die objective Darstellung der mannigfachen Erscheinungen des Lebens die Hauptsache im Roman ausmacht? man kann antworten, der Held . . . muss den Faden der Erzählung, an welchen sich einzelne Begebenheiten und Erscheinungen anreihen, abgeben. . . . Im Helden des Romans liegt der Spiegel, welcher uns die Gegenstände, denen er begegnet, klar zeigt." Among the hero types of his native literature Hauff found the wandering artist, the roaming adventurer, the subjective dreamer. Of these he says: "Man wollte unter Roman nicht mehr die Lebensbegebenheiten des Helden verstehen, sondern die Aufstellung und Entwicklung der menschlichen Ansicht über Kunst oder sonst ein Thema des geistigen Lebens, die sogenannte Geschichte war Nebensache."<sup>1</sup> Against this form of novel he further declares himself: "Der Roman war auch in der That ursprünglich nichts anders als getreuer Bericht über das Stilleben und die Handlungen des Helden. Die Wahrheit lag nicht im getreuen Bericht, sondern in Aufstellung der Motive zu Handlungen, in Darstellung seiner Gefühle. Diese Darstellung der Gefühle des Helden fordert aber eine genaue Darstellung der Gegenstände und Aussen-dinge die den Helden afficiren."<sup>2</sup> When we realize that Hauff expresses himself thus in defense of Scott's and in exposition of his own type of hero, and finds such a hero developed in sixteen of the Waverley novels which he read, there is every indication of a close relationship between the two authors.

Hauff's acquaintance with Scott's characters was intimate. In his *Studien* he reviews in detail fifty-six of them and accords several others an intelligent word of comment. His

<sup>1</sup> *Studien*.

<sup>2</sup> *Ibid*.

general judgment, if favorable, is that they are natural; if unfavorable, that they are merely sketched and therefore undeveloped. He bestows most attention upon *The Antiquary*, *Waverley*, *Ochiltree*, and *Mannering* in the order named. The characters which impressed him most are MacIvor, the Antiquary, Ochiltree, Elspeth, Rassleigh and Robin, Mary Stuart (in particular), John and Richard, Elisabeth and Varney. He regards *Rob Roy* as Scott's best novel on account of its vivid pictures and deep characters (Rassleigh, Diana, etc.); he extols *Old Mortality* for its great objectivity and fine gradation of character-types.

It is significant also that Hauff uses in *Lichtenstein* precisely those characters which are most common and most frequently recurrent in the Scottian technique. In inventing Herr von Lichtenstein as baron, Bertha as secondary lady, Dietrich von Kraft as secondary baron, Pfeiffer von Hardt as peasant-guide, etc., Hauff considered them, not as individuals capable of psychological differentiation, but as types whose functions were necessary to the evolution of the plot. The relation was everything, the name nothing. We have already seen how Hauff in the case of his historical characters made such arbitrary modifications as would best suit his purposes; it is evident, then, that he did not aim at accurate delineation of historical character. In the use of such compromises and the adoption of Scottian types he clearly worked in the interests of his plot, and that, too, of a plot in which fiction predominated. As to the origin of these created types Hofmann<sup>1</sup> suggests that Herr von Lichtenstein and Frondsberg were modeled after Hauff's grandfather, and George Sturmfeder after Hauff himself; that Marie's prototype was to be found in his own bride and also in his elder sister; that his grandfather's housekeeper was reflected in Marie's

<sup>1</sup>*Wilhelm Hauff*, p. 77.

maid, Rosa, the peasant's wife, and Kraft's *Haushälterin*; that the peasant's daughter resembled Hauff's younger sister in *naïveté*. We present our own view later.

## VI

### THE PLOT STRUCTURE OF *Lichtenstein*

In his *Studien* Hauff insists that the novel, as offspring of the epic, must concern itself with the external fortunes of the hero; that these must have an organic nexus and unity; that they follow the law of an inner truth; that they offer not allegorical representations but a poetical picture of real life. He furthermore maintains that Scott's novels reveal the power of simple truth. "Welcher Dichter gibt wohl ein besseres Zeugnis dafür dass der Zauber der schlichten Wahrheit der grösste sei als Walter Scott?"<sup>1</sup> "In him," continues Hauff, "the unusual, the accidental, the irrelevant are absent, and the action follows the natural law of logic. The characters are true to themselves and our interest lies in knowing what they will and must do, while our suspense is maintained not by crass effects and exaggerations but by truly dramatic scenes and situations."<sup>2</sup> Following these Scottian principles of realism and organic unity, Hauff developed a fictitious plot in which the hero's career is the central action. The Duke figures historically in the occupation of Stuttgart and the battle of Türkheim, but here, as in all other scenes, his services are subordinated to the interests of the hero. In the hero plot the element of love is conspicuously predominant and the organic necessity of this relation converges every other issue toward the destiny of the lovers.

<sup>1</sup> *Studien*.

<sup>2</sup> *Ibid*.

Of the 36 chapters of *Lichtenstein*, 29 are devoted to the love-interest; of all the principal scenes of the novel only one does not concern itself with this interest—that which describes the organization of the Duke's forces for the seizure of Stuttgart; of all the festivities which attended the occupation of Stuttgart, George's wedding is the only one which Hauff describes in detail, 22 pages being devoted to it and five lines to a mere notice that the other events occurred; even in the naturally solemn scene where Schweinsberg reports the fall of Tübingen, Ulrich's greatest stronghold, and the latter stands on the brink of utter ruin—a scene where the hero's love-interest would seem to have no legitimate place—it reaches on the contrary its critical stage when the Duke in person urges Marie's father to ratify her union with George and demands in a decidedly bantering manner a kiss from the bride, which was to be delivered on her wedding day in Stuttgart.

Hauff wrote the love relation of *Lichtenstein* from his own heart. He was sentimental by nature, much given to *Schwärmerei* and susceptible to feminine charms; he had a strong youthful passion for his little neighbor Amalia, and in 1823 met his cousin Louise, whom he afterward married. From this very happy association arose many love lyrics (*Stille Liebe, Sehnsucht, Ihr Auge*, etc.), and during the three years which elapsed between the beginning of this love and the publication of *Lichtenstein* he passed thro the whole intense experience of engagement and separation, acquiring thus naturally a personal preparation for at least one portion of the task before him. As he essayed to develop an historical romance, he found himself at once familiar with the love relation of the hero and heroine, and, drawing readily from his own life, he followed the line of least resistance, gave unconscious pre-

dominance to this motive, and then, not without skill, wove the residue of his material about the one relation he most clearly understood. Moreover, the atmosphere of the love interest is thoroughly modern; its language and vocabulary are expressed in the plain, earnest, straightforward manner of the 19th century; it is set forth in an unromantic zeal which reflects Hauff's own feelings rather than the mode of 1519; it contains an emphasized sentimentality which too greatly humanizes and therefore modernizes the lovers of a romantic novel of the 16th century; it describes the physical, not the intellectual and spiritual aspects of love; it involves quarrels, misunderstandings, and reconciliations which are often juvenile in their *naïveté* and mark the course of unsophisticated affection rather than the dignified procedure of a formal work of literature. Numerous instances of this over-emphasis will be found in our discussion under "Diction." Its motive can be found only in the conclusion that Hauff wrote the major part of *Lichtenstein* from his own experience and therefore gave the prince-interest a minor place as well as importance in the evolution of the plot. And, indeed, in his *Studien* he calls attention to the fact that the prince is purposely subordinated to the hero in both *Waverley* and *Rob Roy*; he censures the *Abbot* on the other hand for undue prominence of the prince idea,—facts which also would seem to indicate Hauff's disproportionate valuation of heroes and princes. Of Scottian influence in the treatment of the love relation there can be no question. As to German sources, Drescher says: "Hauff arbeitet in der Darstellung des liebenden Paares Georg und Maria völlig selbständig."<sup>1</sup>

<sup>1</sup> P. 136.

In comparison with the Waverley novels we shall now consider the plot arrangement of *Lichtenstein*, the motives which operate within the action, and the movements which are necessitated by the character relations. The Prince enters comparatively late into the action and at a time when the hero interest needs his assistance, as in thirteen of Scott's novels; the Prince aids the hero, pre-eminently in the love interest, as in thirteen of Scott; the hero enters the action at the outset, being lukewarm toward the political side to which he is attached, and as the plot advances he leaves his first allegiance, joining the Prince, whose waning cause promotes the success of the hero's love interest and political fortunes, as in seven of Scott (in two the political sides are reversed); the Prince is dispossessed and seeks restoration without results, as in eight of Scott (in one the Prince regains the throne); the heroine and her father operate on the Prince's side, as in ten of Scott; the love of the hero and heroine antedates the beginning of the story, as in six of Scott; the Prince enters actively and extensively into the plot, i. e., into the fortunes of the hero, as in seven of Scott; the love interest dominates the initial scene of the book; a long separation of the lovers ensues followed by a reunion, which, though clouded by its own uncertainties and the Prince's misfortunes leads to the ultimate happiness of the couple, as in six of Scott (and with modifications in others); a secondary lady serves the heroine's interests particularly in love, as in twelve of Scott; a baron related to the heroine by active participation in the plot welds the mutual interests of the hero, heroine, and Prince, as in fifteen of Scott; a peasant-guide operates widely and effects even more directly the organic unity of these same three interests, as in twelve of Scott; the peasant is aided

by a wife, as in four of Scott; he is also assisted by a daughter, as in eight of Scott; an evil counselor acts against the hero and to the ultimate disadvantage of the Prince as in eleven of Scott; the hero is befriended (saved) by persons of the other side as in sixteen of Scott; the hero befriends (saves) persons of the other side, as in nine of Scott; a battle is used to decide the Prince's fate as in twelve of Scott.

The foregoing comparisons include not only the whole plot arrangement of *Lichtenstein* but also all the movements and character relations by which the action is carried on. We have already shown that the four historical characters are modified to fit Hauff's fictitious plot; that the invented personages conform in their functions accurately to Scottian types; that the hero interest and (in him) the love element preponderate. The comprehensiveness of the above analogies makes it clear that inside the plot the distribution of the action, interplay of motives, the relationships of the characters, the general scheme of development are duplicated manifold in the *Waverley* series.

## VII

### ANALOGOUS SCENES, EVENTS, AND SITUATIONS WHICH FILL IN THE PLOT

When Hauff had determined the nature and scope of his plot and the general movements by which the action was to be carried on, it became necessary for him to fill in the structure with such concrete material as would vivify this plot and enhance the attractiveness of its content. To this end he was obliged to borrow or invent many scenes, events, and situations, and to adorn the



intercourse of his characters by such devices as would make them not only real but interesting. That in so doing he leaned most heavily on Scott the accompanying evidence will show. In comparing the Waverley novels and *Lichtenstein* we find a total of 748 analogies, all of which are close, many striking, and none far-fetched. Taking into account those which are duplicated in the Scottian works themselves, we still have 453 as common to the two authors. As far as any single novel is concerned, *Quentin Durward* has the largest number of analogies, 98, the next being *Old Mortality* with 83. As it would be impossible to present this voluminous evidence in detail, the following examples will illustrate the nature and scope of imitation: Prison cell with haunted associations (murder, etc.); hero and prince meet in a cave; banquet with quarrel scene affecting the hero; ball where hero and heroine meet and have important interview; hero attacked, wounded, and healed in a cottage by women in 8 days; military procession viewed by hero and heroine; castle burns in sight of hero and prince; duel fought by the hero thro jealousy and stopped by the peasant-guide; a disguised spy on the prince's side passes thro the enemy's lines to friends in a stronghold to secure information; a high personage's garb assumed by a friend to effect the former's escape; escape of high personage by plunging into the water; messages sent in poetic or metaphorical form from heroine to hero; secondary lady brings about a meeting of the hero and heroine, cleverly keeping away her own lover, whose presence is necessary to effect the meeting; a high personage visits the heroine's father's castle by night under mysterious circumstances which arouse jealousy in the hero, and anger, because the heroine refuses to divulge the secret; the hero saves the

life of a hostile officer and is himself rescued in a similar manner. It is impossible in a mere citation to reproduce the striking correspondence of the majority of these situations; still, the few quoted above and the really astonishing total will further attest how completely Hauff absorbed the subject matter of the Waverley novels.

But there are a few incidents in *Lichtenstein* for which Hauff could have found models in his historical or legendary sources; it would therefore seem ill-considered to claim for them a Scottian origin without further examination. Historical are the occupation of Ulm by the Swabian army, certain facts relating to the general military situation (merely stated and discussed by the characters and therefore isolated from the active plot), the fall of Tübingen (also related by one of the characters), the taking of Stuttgart and the Duke's regency, the battle of Türkheim with its strategic hill position and the burning of a distant castle. There are also legendary sources for the Duke's nocturnal visit to Lichtenstein, his refuge in the cave, and his leap from the Klinger bridge into the Neckar to escape his enemies. Only the occupation of Stuttgart, the battle, and the three legendary events enter actively into the plot.

On the other hand, Hauff found in Scott four instances where escape was effected by plunging into the water; nine cave scenes, in one of which the hero meets the prince; three instances where the prince stays at the castle of the heroine's father; one where a mysterious stranger visits the heroine's castle nocturnally amid circumstances which correspond remarkably to the situation at Lichtenstein; four where a castle burns in the sight of the hero; four where a capital city is occupied; two where a stronghold of the prince is lost thro treachery

of those within; three where the occupation of a city is attended with festivities; more than a dozen battles where a strategic point is to be gained.

It would be impossible to determine beyond a doubt whether Hauff derived his ideas of these scenes from the historical sources or from Scott. There are, however, many evidences of Scottian influence, if not origin. The capture of the hill position is assigned to the hero; the scenes at Ulm are altogether in his interest; the reported fall of Tübingen draws the Duke and hero more closely together; Ulrich's sojourn in the cave and his visits at castle Lichtenstein aid directly the hero plot; at the Könger bridge engagement the hero by exchanging cloaks with Ulrich saves his life and enables him to escape. In reading the Waverley novels Hauff noted how effectively Scott has used these scenes, and thus he could view them from a literary as well as an aesthetic standpoint, whereas the historical sources gave him only the bare facts. The repeated occurrence of these scenes, moreover, in Scott, and the fact that Hauff was weaving his into a plot thoroughly Scottian would argue for English influence. The psychological argument would also be in favor of Scott. But even if we should remove these scenes from our list of analogies their absence would not lessen materially the value of the evidence we have thus far offered.

Is there a particular novel of the Waverley series after which Hauff modelled his *Lichtenstein*? It must be borne in mind that the love interest is the key to the plot of *Lichtenstein* and that the prince motive is subordinated to the weal of the lovers. Consequently all discussions of a single model must be made from such a viewpoint. For this reason the claims of Dr. Carruth for *Waverley* are less convincing. The hero, never warmly

attached to the Pretender, practically renounces him and achieves his own fortune without the former's assistance; Waverley's fickle love-relation to Cecilia, Flora, and Rose is a sorry exhibition of wooing as compared with the single-hearted devotion of George and Marie. And, too, the Highland chiefs present so many and such strong personalities that neither the lady nor the baron motive comes to its own in the Hauffian sense. We quote Dr. Carruth's statement of the scope of *Lichtenstein*: "*Lichtenstein* is a tale of military adventure and love, being the fortunes of a young knight errant resulting from renouncing the cause of a strong government to espouse that of an exiled prince attempting to regain his heritage, the failure of the prince's cause with the pardon and marriage of the hero." If for the politics of *Waverley* we substitute the intrigue of *Quentin Durward* or the religious fanaticism of *Old Mortality* as the dominant issue, the scope and plot of either novel would match those of *Lichtenstein* with as few modifications as are necessary in the case of *Waverley*. And even *Ivanhoe*, with all its varied pictures of knight errantry and adventure, stands closer than *Waverley* to the Hauffian idea of organic unity thro the interdependence of the hero and prince plots, since the love relation is established at the very outset, and, after many vicissitudes and separations, is woven into the prince's career, while young Waverley, at heart, leaves the prince's cause before the action of the plot reaches its end. The fickleness of the love interest and the shallow as well as transient relation of the hero and prince would militate determinatively against the choice of *Waverley* as the individual model of *Lichtenstein*. Of *Ivanhoe* Hauff says in his *Studien*: "Zwar ist die Fabel abgerundet, einige Scenen trefflich, gleicht aber

mit ihren Episoden und dem Schmuck etwas zu sehr den Ritterromanen der verflossenen Dezennien; die Szenen stehen oft auch so steif nebeneinander als die getrennten Volksstämme. Das Studium der Geschichte blickt auch oft zu schroff hervor. Sehr zu loben ist übrigens: die grossartigen Charaktere und die auffallend scharfe Individualisirung derselben." But for the superlative extension of individual scenes much could be urged in favor of the claims of *Ivanhoe*.

Considering Mary Stuart as representative of the prince-motive we find that *The Abbot* in its scope and plot resembles *Lichtenstein* more accurately than any other single Scottian novel. The scope of *Lichtenstein* as given above by Dr. Carruth fits that of *The Abbot* exactly. As to the plot: the hero joins the government with no great enthusiasm; is suspected of being a spy; joins the prince's side thro a sense of wrong, the fascination of the prince, and the influence of the heroine, whose father is also on the prince's side; spends some time at a castle with the heroine and prince; fights in the losing battle of the prince; the prince flees *her* native land; the hero is pardoned (with others), marries the heroine, and retires to an hereditary castle. This action is identical with that of *Lichtenstein* and the general analogies of the two novels are uniformly impressive. Nowhere in literature is Mary Stuart portrayed more fascinatingly; her detention at the castle corresponds to the Duke's refuge at *Lichtenstein*; the heroine serves her in domestic as well as patriotic capacity, as is also true of Marie in *Lichtenstein*; there is only one love relation in the plot, which is naturally less earnest than that of *Lichtenstein*, where the lovers were engaged before the commencement of the action; the historical importance of Mary's per-

sonality inevitably overshadows the plot, but her functional relation to the interests of the hero and heroine corresponds accurately to the situation in *Lichtenstein*. The 41 analogous scenes and situations are among the most remarkable; and in the historical setting, in the interrelationship of the hero-heroine-prince motives, in the similar treatment of plot unity, in their parallel course of action the two novels exhibit an intimate relationship.

In seeking originals for Hauff's invented characters, Scottian types are abundantly in evidence; in seeking individual models, however, we should never be able to push beyond the marks of general resemblance. Such analogies have little value either in themselves or for our present purpose; they are as elusive as they are inconclusive. Waldburg's dislike of George closely resembles the feeling of Bois-Guilbert for Ivanhoe; Crève-cœur's sarcastic contempt for young Durward is also reflected in Waldburg; and, indeed, other analogies could be cited from the Waverley series. The evil influence of Fitzurse over Prince John suggests Chancellor Volland's relation to the Duke, but the dislike and ridicule which the latter vents on his adviser are clearly reproduced in the attitude of Louis XI toward Cardinal Balue in *Quentin Durward*. For Volland's shrewd villany and physical deformity Hauff doubtless used Rassleigh as a model, especially since the latter receives in Hauff's *Studien* a special characterization. The roguish heartlessness of Bertha toward her suitor, with its banter and apparent indifference, is strikingly analogous to the attitude of Catherine Seyton (*The Abbot*) and Jenny (*Old Mortality*) toward their lovers. Lady Margaret's (*Old Mortality*) *penchant* for recalling the memorable occa-

sion when she entertained the King at breakfast matches Dame Rosa's equally chronic tendency to speak in proverbs. The fact that both Ulrich and Richard (*Ivanhoe*) were daring princes, tyrannical, regardless of long-established customs dear to the people, and yet sat deep in the affections of the popular heart, is one which proves that Hauff was no stranger to the English Knight. On the other hand, Pfeiffer von Hardt is a strange composite of Scottian functions. In him we find a guide, spy, messenger, soldier, friend, musician, and general utility man for the hero-heroine-prince interest. In Scott these services are assigned distributively to gypsies, strolling musicians, dwarfs, fools, outlaws, freebooters and peasants. Both authors agree in giving to this highly important personage a marked degree of fidelity and an air of mystery in origin, manner, and movements. Hauff thus speaks of Robin: "Robin der Räuber würde nicht die Hälfte von dem Eindruck auf uns machen, wenn wir ihn von Anfang bis zu Ende verfolgen müssten. So aber steht er, so oft er uns erscheint, immer wieder neu und frisch vor dem Auge."<sup>1</sup>

We put the above in evidence to show that Hauff's characters cannot be traced to individual sources. No amount of investigation could discover more than general characteristics, and these at best would be widely distributed. There is, however, no doubt that Hauff borrowed types and functions freely and completely from his master, and wrote at all times from a Waverley standpoint.

<sup>1</sup> *Studien.*

## VIII

## GENERAL CHARACTERISTICS

There are many general characteristics common to the practice of the two authors which, taken in connection with the inner analogies already noted, reveal how closely Hauff followed his master in all that pertained to the making of an historical novel. We give them in the accompanying list.

(1) Introductions which give the historical setting in condensed form, into which also the personal note of the author enters in explanation, self-defense, etc. (2) Poetical captions for the chapters, the poems being taken mostly from the past. (3) Explanatory footnotes. (4) Historical annotations at the end of parts. (5) Division into parts. (6) Use of dialect. (7) Inlaid poems. (8) Latin quotations. (9) Proverbs put into mouths of characters. (10) Use of oaths in the name of saints, St. Hubertus employed by both. (11) Breaks in the story to "bring up" different lines of development. (12) Breaks in the action caused by the use and discussion of general truths at the beginning of chapters (common in both). (13) Events carried over to the next chapter by such words as: "We will describe in the following chapter, etc." (rarer in Hauff). (14) Reference to "In those days" and "now." (15) Both authors' descriptions made in the order of the plot evolution and therefore organic in their relation to the whole. (16) Both employ group scenes; and Scott's favorite use of dialog and situations where two are involved is also found in Hauff. (17) Authors' reflections avoided. (18) Absence of subjectivity very characteristic. (19) Reader addressed, as: "Gentle



reader," "geneigter Leser," etc. (20) Reference to old customs in comparison with modern usage. (21) Reference to sources as authority for facts for which the writers assumed no personal responsibility. (22) Scott in *Waverley* gives dates and sequences, "In the memorable year 1715," "Arrival of summer," etc.; Hauff follows this method in *Lichtenstein*. (23) Names of persons suited to their characters and occupations (Sturmfeder, Dryasdust, Mailsetter, etc.). (24) In expressing the vernacular of the common people Hauff maintains the natural and wholesome level of Scott as against the lower standard of his German contemporaries. (25) Both authors fond of describing characters and revealing their identity later with the words: "For it was he," "For the reader will recognize," etc. (26) Both give to certain persons a characteristic and recurrent form of expression. Lady Margaret (*Old Mortality*) refers persistently to a former visit of the King, and Hauff's Rosalie speaks habitually in proverbs. (27) Scott frequently closes chapters with a situation which leads into the next chapter, with such expressions as: "The door opened and," etc. This occurs once in *Lichtenstein*. (28) Both remark frequently on the general nature of love and jealousy, as applicable to the hero and less directly to the heroine. (29) Soliloquy rare in both authors. (30) Reports and stories narrated by persons often interrupted by hearers. (31) Both authors use approximately the same number of chapters in each part. (32) Both use the form of dream which is interrupted by and ends in realities, where real persons are involved. (33) Both use the epic form of dialog, and avoid the dramatic method whereby (as in the case of many of the German *Ritter- und Räuberromane*, taken as they were from corresponding stage literature) designa-

tions of the speakers, asides, stage directions, etc., appeared in the novels. (39) Both refer informally to the "Chronicles." (35) Both defend their Prince in the introduction. (36) Both use poetry as an organic part of paragraphs (once in *Lichtenstein*). (37) Mysterious past of persons told late in the story. (38) Cults introduced and discussed (Dancing in Hauff, Euphuism and Astrology in Scott). (39) Curses used, many from foreign languages in corrupted form. (40) Latin expressions used by characters as an organic part of their statements (common in Scott). (41) "Jacta est(o) alea" used by both authors, once in English by Scott (*The Pirates*). (42) Both use such self-inclusive expressions as: "we," "let us," etc. (43) Personal references rare in both authors. (44) Both employ a clearing up which acquaints the reader with the fate or fortune of the principal characters. (45) Poetic quotations woven into the grammatical construction of the narrative (once in Hauff, common in Scott). (46) General truths common in both authors. (47) French expressions, few in Hauff, copious in Scott. (48) Influence of verses and songs a marked characteristic of both authors. (49) Both make objective presentation, not psychological analysis, of the characters. (50) Both agree in making disguises, changes of garb, attacks, and travels an organic part of the plot. (51) In both authors the element of fidelity in the peasant-guide is a peculiar characteristic. (52) Scott's simplicity of plot and method was not merely shared by Hauff, but in his *Studien* the latter cites Waverley as a proof that simplicity is the greatest art. Heinrich Heine also characterizes the form of *Waverley* as incomparable in simplicity.<sup>1</sup> (53) Both authors refer at the beginning of the chapter to the sentiment of

<sup>1</sup> *Kritik einer Biographie* von Th. Reynold (Nov., 1841).

the poetical caption. (54) Hero's nationality recognized by his dialect. (55) Both assemble the characters in a scene at the close of the story. (56) Both authors (Scott in most cases) possessed the great advantage of having traversed the geographical area of their stories and being thus personally familiar with the types, scenes, and nature of what they were attempting to describe. (57) In his *Studien* Hauff justifies the criticism that Scott often ends his novels too abruptly. But he imitates him also in this respect. After the defeat and escape of the Duke, the characters are assembled and then hurried from the stage of action quite as suddenly as Scott would have done under similar circumstances. (58) In *Lichtenstein* Hauff drops the moralizing and particularly the satirical elements which are characteristic of his other works, and substitutes a plainly realistic mode of treatment. This substitution could take place only under strong influences, for it is radical, and no such influences were at hand in German literature. They must be Scottian. (59) Both set forth historical truth. It is true that Hauff gives more exact and numerous dates and a closer nexus of events, while Scott makes chronological skips which seem to argue for a looser historical causality. But Scott covers larger areas and develops so many lines of action,—while Hauff's plot and action are strikingly simple,—that after all the apparent difference is one of extent and not intent. Hauff states specifically that Scott's truth is that of presenting a faithful picture of the times and avows his own purpose to offer the same sort of pictures to his readers. (60) The national and patriotic element is very strong in both authors. Scott, and Hauff in imitation of him, showed that national character, national dialect, national characteristics could be a major element in the interest

of fiction and not implements of burlesque and interlude as the stage had made them. (61) Scott (and herein he influenced Hauff) added to the gallery of imaginary personages more and greater figures than anyone except Shakespere. He gave a complete *milieu* of landscape and interior setting such as not even Shakespere could do with the limitations of the stage. He showed the possibilities of novels different from the ones he wrote. He lifted a class of literature from a condition half-despised, poorly-explored, popular in a bad sense, to repute and profit. He infused into it the tradition of moral and intellectual growth, health, manliness, truth and honor, freedom and courtesy. (62) Objective truth and realism very characteristic of both authors. (63) The "kulturgeschichtliche" element so brilliantly developed in Scott is reflected with fainter hue in Hauff, tho here also the latter stands in conscious relation to his master. Drescher speaks thus of Hauff's efforts: "Zusammenfassend lässt sich über die kulturgeschichtlichen Elemente im 'Lichtenstein' sagen, dass Hauff hierfür zwar keine besonders tiefen Studien angestellt hat, dass es ihm aber dank seines Gedächtnisses, seiner scharfen Beobachtungsgabe und seines historischen Sinnes gelungen ist, das entsprechende Zeitkolorit zu wahren."<sup>1</sup>

## IX

### DICTION

In the general matters which we group under the head of Diction Hauff is least related to Scott. If he read the latter's novels in German translations, the absence of literary analogies would be a matter of course; if he read

<sup>1</sup> P. 48.

them in the original, with his confessedly meagre knowledge of English, his ability and opportunities to borrow would be seriously limited. The style of language in *Lichtenstein* as compared with Scott's is plain, unchivalric, and unromantic. As Hofman says: "Der Lichtenstein ist nichts weniger als romantisch erzählt, er ist weit mehr in der Weise der Vorromantiker gehalten."<sup>1</sup> We therefore miss that romantic atmosphere whose presence is attested not so much by prisons, armor, and the clash of conflict as by the glamorous and (in our modern sense) exaggerated language in which Scott was so able to clothe imaginative situations.

In *Lichtenstein*, where the hero before the Council refuses to go as a spy, a scene of great dramatic possibilities, we read the following:

"Der Truchsess rückte ungeduldig hin und her auf seinem Stuhle, als der junge Mann so lange mit seiner Antwort zögerte. 'Nun? wird's bald? warum besinnt ihr euch so lange?' rief er ihm zu. 'Verschonet mich mit diesem Auftrag' sagte Georg nicht ohne Zagen. 'Ich kann, ich darf nicht.' 'Ihr dürft, ihr könnt nicht' wiederholte Truchsess langsam, und eine dunkle Röte, der Vorbote seines aufsteigenden Zornes, lagerte sich auf seine Stirne und um seine Augen. (George then gives his reasons calmly.) Der Truchsess zog die dicken buschigen Augenbrauen zusammen und schoss einen durchdringenden Blick auf den Jüngling, der so kühn war, anderer Meinung zu sein als er. 'Was fällt euch ein, Junker?' rief er. 'Eure Reden helfen euch jetzt nichts, es handelt sich um Gehorsam, wir wollen es, und ihr müsst.' 'Und ich will nicht,' entgegnete Georg mit fester Stimme. 'Ja,

<sup>1</sup> P. 64.

freilich,' lachte Waldburg in bitterm Grimm. 'Das Ding hat Gefahr so in Feindesland zu reiten.'"

The rest of the scene is portrayed in matter-of-fact language, without description of the emotions which must have been keenly alive in so passionate a temperament as Waldburg's.

In *Ivanhoe* Cedric's wrath is thus described:

"Cedric darted at the speakers one of those hasty and impatient glances which comparisons between the two rival nations seldom failed to call forth; but recollecting the duties of hospitality he suppressed further show of resentment. . . . While the attendant hastened to obey Cedric's commands his eye distinguished Gurth the swineherd, who with his companion Wamba had just entered the hall. 'Send these villains, these loitering knaves up hither,' said the Saxon impatiently. . . . 'How comes it, villains, that ye have loitered abroad so late as this?'"

Wamba explains that the dog Fangs was hurt.

"'And who dared to lame an animal which belonged to my bondsman?' said the Saxon, kindling in wrath. 'Marry, that did old Hubert, Sir Philip de Malvoisin's keeper of the chase' . . . 'The foul fiend take Malvoisin,' answered the Saxon, 'and the keeper both . . . Go to thy place, knave, and thou, Gurth, get thee another dog; should the keeper dare to touch it I will mar his archery, the curse of a coward be upon my head if I strike not off the forefinger of his right hand.'"

Another example of Scott's diction:

"'But father,' said Rebecca, 'you seemed to give the gold willingly to Prince John.' 'Willingly? the blotch of Egypt upon him! Willingly, saidst thou? Ay, as willingly as when in the Gulf of Lyons I flung over my

merchandise to lighten the ship while she labored in the tempest, robed the seething billows in my choice silks, perfumed their briny foam with myrrh and aloes, enriched their caverns with gold and silver work.' ”

Such language cannot be found in *Lichtenstein*.

In *Lichtenstein*, where George meets his future guide but at first supposes him to be a villain, his words are: “ ‘ Was willst du da ? ’ ” and “ ‘ Halt, was hast du da mit dem Pferd zu schaffen ? ’ ” These expressions sound weak and commonplace when contrasted with similar usages in Scott. With the latter such exclamations as: *dog, knave, Saint Mary, in faith, by Saint Grizzel, Grammercy, gods and fiends, by my halidome*, etc., are extremely frequent, and on the other hand strikingly rare in Hauff. Scott employs them naturally as reflecting the spirit of the times while Hauff's sparser use and plainer style of diction make them stand out in a more forced and somewhat vulgar light. When the Duke entertains George in the cave the conversation is carried on in the tone of Hauff's own times without a suggestion of the sixteenth century, while in the cell-scene with Richard and the Friar, and later with Cedric's party, we find the fullest range of banter, play, song, and repartee, and that too in a thoroughly mediæval and romantic spirit.

Hauff's style is plain and straightforward. The narrative portions are told for the most part in unfigured prose. The book contains 49 similes and 21 metaphors. Relatively compared, Scott uses ten times as many similes and five times as many metaphors. In detailed descriptions of scenes and objects, as well as in his characterization of persons Hauff avoids the use of figures and sets forth details with literal fidelity. The following citation shows one of his highest moments: “ ‘ Ja, ich wollte

lieber noch hundert Faden tief hinabsteigen, wo die Brust keine Luft mehr zu atmen findet, als in die Hände meiner Feinde fallen und ihr Gespötte werden; und wenn sie dahin mir nachkämen, die blutgierigen Hunde des Bundes, so wollte ich mich mit meinen Nageln weiter hineinscharren in die härtesten Felsen, ich wollte hinabsteigen tiefer und immer tiefer, bis wo der Mittelpunkt der Erde ist. Und kämen sie auch dorthin, so wollte ich die Heiligen lästern, die mich verlassen haben, und wollte dem Teufel rufen, dass er die Pforten der Finsternis aufreisse und mich berge gegen die Verfolgung dieses übermütigen Gesindels.' Der Mann sah in diesem Augenblick so furchtbar, dass Georg unwillkürlich zurückbebt." This passage is powerful and imaginative, but it is not figuratively expressed (excepting "Hunde"). And no other passage in *Lichtenstein*, be it remembered, reaches this height of literary treatment. We deem it unnecessary to parallel the above with examples of Scott's uniformly more pictorial style. Let this excerpt from a letter in *The Heart of Midlothian* suffice: " 'There is a woman in your jail, fallen under the edge of a law so cruel that it has hung by the wall like unscoured armor for twenty years, and is now brought and whetted to spill the blood of the most beautiful and most innocent creature whom the walls of a prison ever girdled in. Her sister knows of her innocence, as she communicated to her that she was betrayed by a villain. O that high Heaven would put in every honest hand a whip to scourge me such a villain thro the world! ' "

Hauff's descriptions are much briefer than those of Scott, whose verbose style would naturally incline him to give more detailed and accurate, therefore more extensive pictures. The hall of the Rathaus in Ulm, von Kraft's



house, the garden where George meets the heroine, the war preparations in the city of Ulm are all described in short paragraphs, while corresponding scenes in *Durward*, *Waverley*, etc., receive an elaborate treatment. Hauff thus reproduces a landscape which is viewed by the hero and his guide: "Sie standen auf einer Felsenecke, die einen schönen Ausläufer der Schwäbischen Alb begrenzte. Ein ungeheures Panorama breitete sich vor den erstaunten Blicken Georg aus, so überraschend. . . . dass seine Blicke eine geraume Zeit wie entzückt an ihnen hingen." And yet, Hauff condenses his description of this enormous panorama into a small paragraph. Similarly, Hauff devotes one short paragraph to the cottage room where George is nursed, while in *Waverley* the same situation receives full attention. The evening halt of a journey is thus depicted in *Waverley*: "The twilight had given place to moonshine when the party halted upon the brink of a precipitous glen which, as partly enlightened by the moonbeams, seemed full of trees and tangled brushwood, etc." In an analogous passage from Hauff we have moon, night wind, trees, and forest, but the author expressly states that George saw nothing of it all because he was dreaming of Marie. It is evident, then, that Hauff's descriptions are much less detailed than Scott's and often presented in a perfunctory manner which makes them seem less organically related to the plot than those of the *Waverley* series.

We quote a paragraph from *Durward* relating to Cardinal Balue: "It was one of that able statesman's weaknesses, as we have elsewhere hinted, to suppose himself, tho of low rank and limited education, qualified to play the courtier and the man of gallantry. He did not indeed actually enter the lists of chivalrous combat like Becket,

or levy soldiers like Wolsey. But gallantry, in which they also were proficient, was his professed pursuit; and he likewise affected great fondness for the martial amusement of the chase. Yet, however well he might succeed with certain ladies, to whom his powers, his wealth and his influence as a statesman might atone for deficiencies in manners and appearances, the gallant horses which he purchased at almost any price, were totally insensible to the dignity of carrying a Cardinal, and paid no more respect to him than they would have done to his father, the carter, miller or tailor whom he rivaled in horsemanship. The king knew this, and by alternately exciting and checking his own horse he brought that of the Cardinal, whom he kept close by his side, into such a state of mutiny against his rider that it became apparent they must soon part company; and then, in the midst of its starting, bolting, rearing and lashing out alternately, the royal tormentor rendered the rider miserable by questioning him upon many affairs of importance and hinting his purpose to take that opportunity of communicating to him some of those secrets of state which the Cardinal had but a little while before seemed so anxious to learn." This expository and rhetorical form of paragraph does not exist in *Lichtenstein*.

In developing conversation Hauff uses comparatively few adverbs and clauses which describe the feeling, expression, and action of the speakers; on the other hand the carousal between the Friar and Richard in *Ivanhoe*, which we take as an example, develops an interview in which a majority of the statements are accompanied by signs of expression, etc. Within these limits, however, Hauff employs a larger variety of verbs, while Scott confines himself to the ordinary "he said," "answered," "replied," etc.

It is evident, too, that Hauff gave less heed to the form than to the content of *Lichtenstein*; otherwise he would have committed fewer anachronisms of diction. Scott's conversations as found in his historical romances could not adorn a modern novel which dealt with modern characters and events, whereas those of Hauff's leading personages would answer without alteration for men and women of his own day. In this respect his practice is obviously un-Scottian. The language of *Lichtenstein* is uniformly simple in grammatical construction. Short sentences, connected by "and," and the ordinary dependent clauses prevail. The general type is narrative, statement following statement without complication, and the epic element is always in evidence. Hauff's power to narrate had been demonstrated before he wrote *Lichtenstein*, and in this novel his ability to "tell" maintains the same level and character. There could be no comparison between the two authors as to vocabulary, emphasis, volubility, and versatility in grammatical constructions and stylistic resources.

Peculiar to Hauff is his frequent use of the interjection "O" in such expressions as "O sagt mir," "O wie ist es?", etc. Its repeated employment by George militates against his dignity as a man and soldier. We note also in Hauff a monotonous repetition of adjectives. The eyes are regularly "glänzend," the mouth "süss," or "rot," the hands "schön," the hero "schön"; these objects are seldom mentioned without the "stock" adjectives. In describing persons Hauff sets forth the physical qualities, in some cases almost to the point of sensuality. When Marie and Bertha are introduced to the reader he speaks of the former's "fein geschnittener Mund" and "die zarten Farben der Wangen"; and of Bertha's being "kleiner

und in reichlicherer Fülle als ihre Nachbarin," and of "der lächelnde Mund, der alle Augenblicke die schönen Zähne sehen liess." Later he speaks of the peasant girl: "Das Mädchen wandte sich um, über ein schönes Gesicht flog ein brennendes Rot; ein roter, lächelnder Mund schien nach Worten zu suchen, um den kranken . . . zu begrüßen." These citations indicate how little Hauff was influenced by Scott in his literary portraiture, for the latter seldom refers to the mouth or the physiological aspects of his characters but rather emphasizes those intellectual and spiritual attributes which reveal character, in preference to mere appearance. The force of these quotations will be more readily apparent when we discuss in the following paragraph Hauff's peculiar relation to the love interest in its literary aspect.

Hauff's reasons for giving a disproportionate development to the love element in *Lichtenstein* have already been considered. The evidence here offered will show how his diction confirms these reasons and demonstrates the impossibility of Scottian influence. The passages are selected at random. "Wir lauschen nicht wenn sie errötend und mit niedergeschlagenen Augen sich fragt, ob Bäschen Bertha den süßen Mund des Geliebten richtig beschrieben habe." This remark follows a description which Bertha was giving of the hero: "'Ein Bärtchen über dem Mund, nein, ich sage dir, wie du jetzt nur wieder gleich rot werden kannst,' fuhr Bertha in ihrem Eifer fort, 'als ob zwei Mädchen, wenn sie allein sind, nicht von dem schönen Mund eines jungen sprechen dürften.'" Again "Die Erinnerung bedeckte Bertha's angenehme Züge mit hoher Glut, und die Verwirrung, in welche sie sein Blick versetzte, liess sie nicht bemerken, welches Entzücken ihm aus Mariens Auge entgegenstrahlte, wie sie bebte, wie sie

langsam nach Atem suchte, wie ihr selbst die Sprache ihre Dienste zu versagen schien." Again: "Jetzt suchten Mariens Blicke nicht mehr den Boden, sie hingen an denen des Geliebten." Again: "Marie sandte einen blick des Dankes zum Himmel und belohnte die Worte des jungen Mannes mit süßem Lohne." Again: "Wer sich ein liebendes Herz denkt, ein Auge voll Zärtlichkeit, umflort von einem Schleier stiller Thränen, einen holden Mund, der das Blättchen noch einmal küsst, verschämte Wangen, die bei diesem geheimnisvollen Grusse erröten . . . wer dies hinzudenkt, der wird es Georg nicht verargen, dass er einige Augenblicke wie trunken war." Again: "Ein süßer Schlummer lenkte sich auf den Verwundeten herab, und mit dem letzten Gedanken an die Geliebte entschwanden seine Sinne." Again: "'Trinkt, Junker, bis auf den Boden aus. Sieh nur, wie unserem Gast das Blut in die Wangen steigt, wie seine Augen blitzen, als küsse er schon ihren Mund.'" This refers to the Duke's toast to Marie in George's presence. Again: "'Doch für das Fräulein müsst ihr eure eigenen Zeichen haben, denn auf sie erstreckt sich mein Zauber nicht; etwa ein herzlicher Händedruck, die geheimnisvolle Sprache der Augen oder ein süßer Kuss auf ihren roten Mund . . .'" Again: "Sein Herz pochte bei diesem Gang voll Erwartung, voll Sehnsucht, seine Wangen röteten sich vor Liebe und Scham. . . ." Again: "'An dem Tage wird das Bräutchen noch viel schöner erröten, wenn die Glocken tönen von dem Turme und die Hochzeit in die Kirche ziehet. Da, Junker, gib ihr den Brautkuss, es ist zu vermuten, dass es nicht der erste ist.'" Again: "'Ihr seid ein sonderbarer hübscher Junge' entgegnete der Herzog mit Laune, 'und manche unsrer Fräuleins hier am Tische möchte vielleicht gerne einen solchen Schuldbrief an euren schönen Mund

einzufordern haben; mir aber kann dies nicht frommen, denn meine Urkunde lautet auf die roten Lippen eurer Frau.' . . . Und der Herzog liess sich nicht irre machen, sondern zog die Schuld (the kiss) samt Zinsen von ihren schönen Lippen ein." Again: "Bärbele wagte einigemal, ihre Blicke zu erheben, um jenes Gesicht wiederzusehen, das im Fieber der Krankheit so oft an ihrem Busen geruht und in ihren treuen Armen Ruhe und Schlummer gefunden hatte, jenen Mund wiederzusehen, den sie so oft heimlicherweise mit ihren Lippen berührt hatte, und jene Augen, deren klarer, freundlicher Strahl ewig in ihrem Gedächtnis fortglühte." Again: "Die Stille der Nacht . . . senkte ihn bald in einen Schlummer, der seine Seele weit hinweg über Krieg und Schlachten in die Arme seines Weibes entführte." Finally, the Duke's uncourtly banter with Marie regarding George: "'Nicht wahr, mit dem ginget ihr in die Hölle? Was das für eine Liebe sein muss! Weiss Gott, Euer Mund ist ganz wund. Gar zu arg müsst ihr es doch nicht machen mit Küssen.'" There are more than sixty places in *Lichtenstein* where the sentiments of love, jealousy, and affection are discussed; six chapters close with direct reference to the name "Die Geliebte," while five deal in the final paragraph with the love interest. The intensity and realism with which Hauff expresses himself in the relations of the hero and heroine naturally affected his diction. We miss the romantic vocabulary and style which would have attended the full development of a prince-plot; we recall the glamor which surrounded Quentin Durward's career; and we realize that Hauff in his first (and only) historical romance unconsciously wrote his own heart history and thereby forfeited the opportunity of reaching Scott's literary level.

## X

## THE INFLUENCE OF OTHER SOURCES

The objection could easily be urged against the foregoing discussion that, dealing as it does only with Scottian sources, it might readily be invalidated by proving the existence and operation of German influences, to which Hauff would naturally be more inclined to yield. It is precisely the absence of such influences that adds value to our findings, as we shall endeavor to make clear.

The Storm and Stress movement was powerful in its endorsement and exercise of "Kraftgenialität" and equally powerful in its plea for individual liberty. Its literary horrors were excrescences, as its enthusiasm was the effervescence, of an idea which took deep hold on the German heart. Not only is there no trace of this movement in *Lichtenstein*, but Hauff in his *Studien* condemns Scott in several instances for representing the horrible to such a degree that it becomes repellent.

Of pseudo-Storm and Stress writers Drescher thus speaks: "Die Werke von Vulpius, Cramer und Spiess bilden insofern eine zusammengehörige Gruppe, als bei ihnen von einer eigentlichen Tendenz gar keine Rede sein kann . . . Völliger Mangel an wirklich innerer Empfindung, der durch Anwendung sich beständig steigender Übertreibungen nur mühsam verdeckt wird, und das Gefühl des Erborgten, des gesucht Effectvollen, des gewalt-sam Anempfundenen, das jeden Leser dabei erfasst, lässt uns derartige Machtwerke neben den mit lebendigem Blute geschriebenen Erzeugnissen des wirklichen Sturmes und Dranges als unwürdig verurteilen."<sup>1</sup> We know, moreover,

<sup>1</sup> P. 61.

that he was familiar with Fouqué, Hildebrand, and Van der Velde; in fact, he himself states that by his eleventh year he had read the greater part of the "Ritter und Räuberromane" of the Fatherland, which could scarcely fail to give direction to his boyish fancy. And yet these tales of horror eventually faded from his imagination and never entered as active influences into his literary technique, as can be amply proved by his own assertions in his *Studies of the Waverley Novels*, where, for instance, he condemns *Ivanhoe* for its analogy to the "Ritterromane der verflossenen Dezzennien."

With reference to the handling of historical material by Cramer, Spiess, and Vulpius, Drescher says that "Hauff mit dieser gewissenlosen Art der Benutzung geschichtlichen Stoffes nichts gemein hat . . ." <sup>1</sup> When, moreover, Brandes calls Fouqué's knights "stuffed-out pieces of armor," and Julian Schmid vouches for the absence of color; when Drescher affirms that Hildebrand's historical personages serve only as a background to give "a sort of historical justification" to the cruelties of raging peasants; when, too, Hauff in his introduction to *Lichtenstein* declares his specific intention to stand, as Scott did, on historical ground, it seems impossible that he should have used or even considered such German sources.

The national and patriotic elements of Hauff's novel are unopposedly relegated to Scottian influence. The bitter complaint which Hauff lodges against his nation for its ignorance of and apathy toward things German would in itself prove that no German model stood before him in these respects. In matters of general historical tendency also Hauff is admitted to have used Scott more than any other author.

<sup>1</sup> P. 66.



For the organic plot unity of *Lichtenstein* no one has claimed to find a German prototype. We again quote from Drescher: "Über die Compositionstechnique der deutschen Vorbilder Hauffs lässt sich etwas Anerkennen-des nicht sagen . . . Solche Werke bestehen aus einer Unsumme von Episoden, die kaleidoskopartig ohne Rücksicht auf Haupt- oder Nebenhandlung aneinander bereiht vor dem Auge des Lesers vorüberziehen und bei dem objectiven, denkenden Beurteiler keinen andern Eindruck als den der Unwahrscheinlichkeit hinterlassen. Die Menge der Episoden erfordert eine entsprechend grosse Zahl von Personen, deren Aufgabe lediglich darin besteht, neue Konflikte zu ermöglichen."<sup>1</sup> Scott, too, introduces many persons into his novels, but he endeavors thereby not to create unrelated episodes but rather to enlarge and animate scenes which in themselves are organically connected with the plot. We have already shown Hauff's relation to the plot technique of the *Waverley* series.

Commenting on the manner in which German writers of Hauff's day handled the historical content of their novels Drescher says: "In der Verwendung des kultur-geschichtlichen Materials kann sich quantitativ keiner der deutschen Schriftsteller auch nur im entferntesten mit Scott messen. . . . In viel wirksamerer, die betreffenden Zeitverhältnisse wirklich umfassender Weise benützt . . . Scott das kulturhistorische Material. . . . Wie sehr Hauff auch diese Seite des englischen Meisters gewürdigt hat, mögen einige Stellen aus den Studien zeigen."<sup>2</sup> Hauff's own statements in this connection are conclusive: "Scott reflektirt als Historiker, indem er uns das ganze Bild einer Zeit . . . im Romane darstellt. . . . Die Ausmalung übertrifft beinahe an Interesse die Charactere."

<sup>1</sup> P. 81.<sup>2</sup> P. 96 seq.

We regard it as significant that Hauff uses satire and romantic tendencies in his other works and yet develops *Lichtenstein* in a serious and realistic tone. He does not show the pessimism and elegiac mood of the romantic writers, and in a letter to Herlossohn denies allegiance to any school, adding also: "Ich bin weder gegoethet noch getieckt." His eclectic attitude toward authors in general and his conspicuous departure from characteristic methods would obviously indicate that he consciously adopted a new technique in the case of *Lichtenstein*, and in the light of our accumulated evidence we ascribe this new *modus operandi* to the influence of Walter Scott.

Hauff's independent method of developing the love interest has already been discussed. In his native literature the love treatment prevailingly involved numerous pairs of lovers, countless love adventures of the same lover, and a spirit of fickleness which must have outraged Hauff's sense of sincerity and devotion. Says Drescher: "Keiner der älteren deutschen Autoren vermag nämlich ein einzelnes Liebesverhältnis so wirkungsvoll auszugestalten, dass es dauerndes Interesse zu erwecken und die Spannung des Lesers bis zu Ende wachzuerhalten imstande ist.<sup>1</sup> . . . Hauff arbeitet in der Darstellung des liebenden Paares Georg und Marie völlig selbständig."<sup>2</sup>

As proof that Hauff did not find among the German writers satisfactory ideas for the delineation of his characters, we quote from Drescher and refer our readers to conclusions which we already stated in this discussion. Drescher says in part: "Bei der Mehrzahl der deutschen Romanschreiber wäre es verlorene Mühe, nach einer auch

<sup>1</sup> P. 134.

<sup>2</sup> P. 136.

nur einigermaßen künstlerischen, beabsichtigten Charakterdarstellung forschen zu wollen; haben sie es doch meist kaum zu Ansätzen einer solchen gebracht. Alle Helden der Ritterromane, gleichviel ob Ritter oder Knappe, Herr oder Knecht, sind fast durchgängig nach ein und derselben Schablone behandelt; alle erweisen sich als tapfer, stark, furchtlos, unbändig im Zorn, als Freunde des Kampfes und des Humpens, etc.”<sup>1</sup> Scott’s own sense of the importance of clear characterization is too well known to English readers to require at this point any special emphasis. And Hauff’s unbounded admiration of this power in his master, together with its effect on his actual methods, indicates beyond a doubt the source from which he drew his knowledge and valuation of clear character-sketching.

As more general points of deviation from German methods, we cite the fact that he avoids those episodes which militate so constantly in German literature against the maintenance of plot unity; that the subjectivity so peculiar to German novelistic technique is entirely absent in *Lichtenstein*; that in comparison with Hauff’s well-motivated travel technique with its relevant description of persons and places, the German modus of his day is unnatural, due to the authors’ ignorance of the localities traversed by the characters, due also to the paucity of descriptive material as well as characteristic features and details which would make such scenes more concrete; that the writers of the “Ritter- und Räuberromane” (as these novels sprang from the “Ritter- und Räuber-dramen”) retained much of the stage technique, as: the development of dialog with stage directions in parentheses, the marginal designation of the persons speaking (“he,”

<sup>1</sup> P. 104.

"she," "all," etc.). Both Scott and Hauff confined themselves to the epic, not the dramatic form, of development.

In his sketch, *Die Bücher und die Lesewelt*, Hauff states that prior to his adoption of Scott as model he had no one in mind whom he could definitely choose for that purpose. He then enumerates the reasons which determined his choice,—a circumstance which argues strongly against the possibility of other sources.

But we find that the strongest proof for Hauff's independence of German influence lies in his allegiance to the Scottian ideal of realism. As Mielke says: "Walter Scott showed the historian that history is not an accumulation of abstract ideas, but the same fulness of events that the historian meets in his own time; he taught the novelist that his characters must not be mere reflections of his thoughts, but differentiated by dress and occupation as well as by peculiarity of speech and manner of thinking; and as he recognized truth to be the real literary end, he sought his models not in higher circles of society where form takes the place of naturalness, but among the lower classes where he found sound happiness, humorous peculiarities and the homely sentiments which gave reality to his novels."<sup>1</sup> And, too, Hauff's own words (quoted elsewhere also) betray how deeply he felt the inner value of Scott's realism: "Welcher Dichter gibt wohl ein besseres Zeugnis dafür, dass der Zauber der schlichten Wahrheit der grösste sei, als Walter Scott?"<sup>2</sup>

<sup>1</sup> P. 92.

<sup>2</sup> *Studien.*

## XI

## CONCLUSION

We find, then, that the central point of *Lichtenstein* is the love interest of the hero and heroine; that this, as well as the unadorned style of the novel, we must regard as elements in which the influence of Walter Scott is not apparent; that the plot in its historical and fictitious aspects is entirely subordinated to the love interest; that the technique of this plot in its character types, action, arrangement, and general movement is unvaryingly Scottian; that the few historical events which Hauff might have borrowed from his historical sources are blended so thoroughly with Scottian methods and duplicated so often in the Waverley series that they can be referred with no small probability to English influence; that *The Abbot* is the most obvious single model of *Lichtenstein*. From his original purpose of writing an historical romance Hauff was swerved by the realism of his own love experience; unless this fact is given full weight, the correct emphasis and meaning of *Lichtenstein* cannot be determined. How heavily he leaned on Scott for the form and filling of his novel needs no final recapitulation; the detailed findings require no closing emphasis; we therefore leave the evidence to find its way to the judgment of those into whose hands this paper may have the good fortune to fall.

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